

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2406888
<b>Application Number:</b>	10001900
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8995
<b>Title of Invention:</b>	Balancing arbitragable tracking securities
<b>First Named Inventor/Applicant Name:</b>	Steven M. Bloom
<b>Customer Number:</b>	26161
<b>Filer:</b>	Denis G. Maloney/Sergio Pantano
<b>Filer Authorized By:</b>	Denis G. Maloney
<b>Attorney Docket Number:</b>	09857-073001
<b>Receipt Date:</b>	31-OCT-2007
<b>Filing Date:</b>	14-NOV-2001
<b>Time Stamp:</b>	19:39:13
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 930
RAM confirmation Number	5698
Deposit Account	

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Request for Continued Examination (RCE)	rc09857_073001.pdf	265216 5c097726c2299fa0db7614ae273564a83a3b08e0	no	1
<b>Warnings:</b>					
This is not a USPTO supplied RCE SB30 form.					
<b>Information:</b>					
2		reply09857_073001.pdf	3424079 f04c9a520ca0057367b6889b0c0f0d6302d375d	yes	17
	<b>Multipart Description/PDF files in .zip description</b>				
	<b>Document Description</b>		<b>Start</b>	<b>End</b>	
	Amendment After Final		1	1	
	Claims		2	7	
	Applicant Arguments/Remarks Made in an Amendment		8	17	
<b>Warnings:</b>					
<b>Information:</b>					
3	Extension of Time	ext09857_073001.pdf	138006 345094b4134812705eb033c05ee5645eb0330d	no	1
<b>Warnings:</b>					
<b>Information:</b>					
4	Information Disclosure Statement (IDS) Filed	ids09857_073001.pdf	365139 170aa8361605e5b0c0966d55eba9605ba26cd5	no	2
<b>Warnings:</b>					
<b>Information:</b>					
This is not an USPTO supplied IDS fillable form					
5	NPL Documents	WO2001027106.pdf	792700 eb3e3a50501602920a525495d000a35c3183ad	no	27
<b>Warnings:</b>					
<b>Information:</b>					
6	NPL Documents	WO3042779.pdf	132531 c4271c9188d25ca0c0902a560d0c2bc3d51125b67c	no	3
<b>Warnings:</b>					
<b>Information:</b>					
7	Fee Worksheet (PTO-06)	fee-info.pdf	8303 18673dd04091c0a6c72aa987230c0a029058	no	2

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5125974

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.